

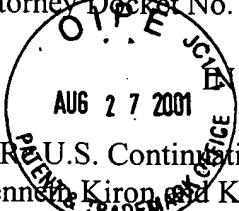


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PATENT TRADEMARK OFFICE

PATENT

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2165

In Re U.S. Continuation Patent Application Of:

Kenneth Kiron and Kevin Bander

Application No. 09/843,278

Confirmation No. 9675

Filed: April 24, 2001

For: Open End Mutual Fund Securitization Process

Group Art Unit: 2165

Examiner:

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Commissioner For Patents  
Washington, D.C. 20231

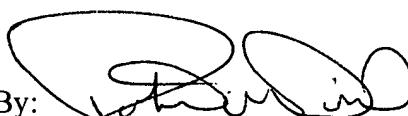
**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. § 1.97(b))**

Applicant submits herewith Form PTO-1449 and a copy of the references listed thereon.

Since this Information Disclosure Statement is being filed within three months of the filing date of the Application or before the mailing date of a First Office Action on the merits, whichever event occurs last (37 C.F.R. § 1.97(b)), no certification or fee is due. The Commissioner is hereby authorized to charge any deficiency in fees to Deposit Account No. 23-0280. A duplicate copy of this paper is enclosed for that purpose.

Respectfully submitted,

Dated: Aug 22, 2001

By: 

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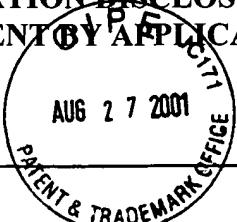
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**CERTIFICATE OF MAILING (37 C.F.R. § 1.8a)**

I hereby certify that this correspondence is, on the date shown below, being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to: Commissioner For Patents, Washington, D.C. 20231 on Aug 23, 2001.

Kathleen Rundquist  
Kathleen M. Rundquist/124363.1

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
PTO-1449



W&W File No.: 3001 P 016  
Application No.: 09/843,278  
Applicant: Kiron et al.  
Filing Date: April 24, 2001  
Art Unit: 2165

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U.S. PATENT DOCUMENTS

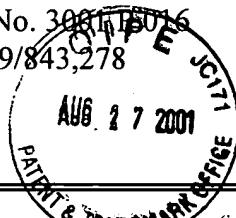
Examiner Initial	U.S. Patent Document No.	Name of Patentee or Applicant	Class/ Subclass	Date of Publication
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OTHER PRIOR ART OR NON-PATENT LITERATURE DOCUMENTS

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	Form S-6 (EL24) for registration under the Securities Act of 1933.	



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	Amendment No. 1 to Form S-6 (EL24A) for registration under the Securities Act of 1933.	
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Date

Examiner: \_\_\_\_\_ Considered: \_\_\_\_\_

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.